Communities in Action
Office of Health Disparities
Mississippi Department of Health
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Grenada, Mississippi

Strategic Planning & Project/Funds Management ©
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Identifying, Lowering or Removing Systems Barriers

United Way Logic Outcome Model

INPUTS → **ACTIVITIES** → **OUTPUTS** → **OUTCOMES**

Resources **Money** **Staff** **Volunteers** **Equipment &** **supplies** **Barriers** **Laws** **Regulations** **Funder's** **requirements**	**Services** **Shelter** **Training** **Education** **Counseling** **Mentoring**	**Products** **Classes taught** **Counseling** **sessions** **conducted** **Educational** **materials** **distributed** **Hours of** **service** **delivered** **Participants** **serves**	**Benefits for People** **New knowledge** **Increased skills** **Changed attitudes** **or values** **Modified behavior** **Improved** **condition** **Altered status**

Performance Gaps Result from Barriers.

- **Laws**
- **Public sector regulations**
- **Private sector requirements**
- **Policies**
- **Conventional Thinking**

- **Organizational/ structural make-up**
- **Fallacies**
- **Unexamined assumptions**
- **Outdated perspectives**
- **Old models**

Hidden Dynamics of Success Pyramid
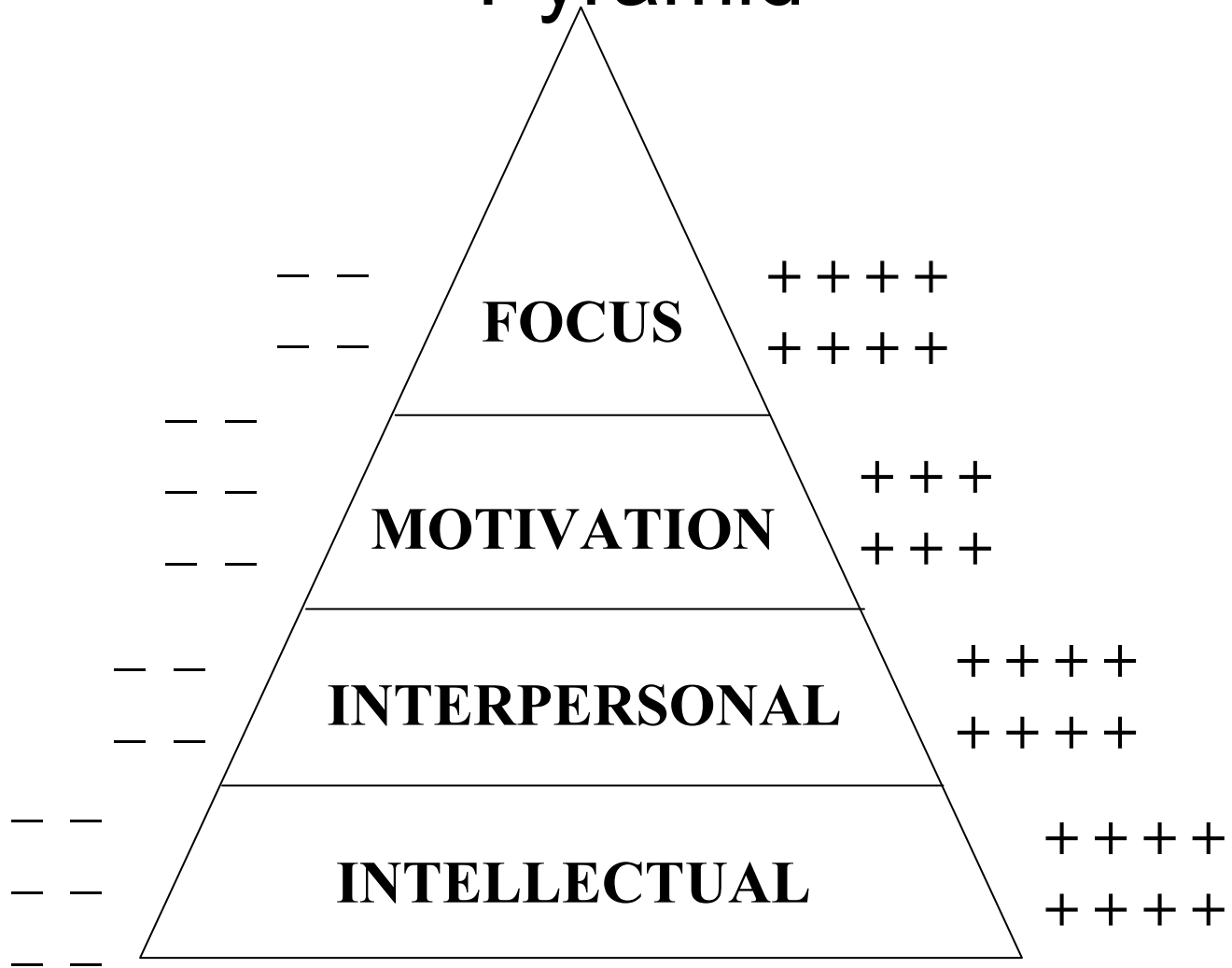
Success = Each person being his or her own best self.
Dr. Walter Hunter

Barriers

- Constant barriers:
  - Laws
  - Regulations
  - Funder's requirements

- When we create systems for our target and disparate populations, we unwittingly create barriers to their deriving benefit from the system.

Examples of Barriers

- Youth in St. Louis with cocaine addiction are sent to treatment programs funded for only 30 days. The barrier? It takes 60 days to successfully break through this addiction.

- Governmental programs will provide funding for a medical exam but not funds for treatment of conditions identified during screening.

- Treatment for certain conditions may be available but without money to pay for transportation (funding to cover treatment at the Kansas City Dental School but no funding for transportation).

- Job Fairs held at locations without bus or train lines nearby.

Examples of Barriers

- Youth in single-parent homes cannot apply for subsidized scholarships or Stafford loans for college because the non-custodial parent's salary or wages are too high.

- Unemployed TANF recipients may receive two days' notice to report for training when a child has chicken pox. If the parent fails to appear, she can lose her TANF funding.

- Children are encouraged to have a physical examination with a physician every year, but there is no funding available to cover the cost.

ONC-Identified Barriers

- High failure rate for electronic health record implementation
  - Variable availability of IT expertise in physician offices
  - High failure risk for business re-engineering
  - Limited implementation support for 75,000 small practices

Office of the National Coordinator for Health Information Technology, AHRQ

"RESOLUTION OF CHALLENGES

Challenges in Implementing the Work Plan: Physician orders for in-home telemanagement will be one challenge. As a new program for physicians to consider, CMH will be challenged to induce physicians to remember to order in-home telemanagement for their patients and to communicate the need for in-home telemanagement to patients and their families/caregivers. *Drawing on our experience in training physicians in Project Infocare, CMH will overcome this challenge by using *extensive in-house communication: email, flyers, medical staff meetings (the "talk-talk-talk until they are tired of hearing about it" method), and one-on-one training. CMH also has developed and will utilize a protocol allowing in-home telemanagement to be used on all patients meeting appropriate criteria through an assessment tool. Physicians will be prompted for orders for patients meeting the criteria, and CMH will establish a *standing order set to make it easy for physicians to provide patient-specific orders for in-home telemanagement for patients who qualify."   From awarded HRSA grant to CMH

*Note the leveraging of past capacities

Little Secrets for Lowering or Removing Barriers

- Sell benefits to sources of barriers
- Work for success on **your** level
- Leverage community contacts
- Enlist peer organizations
- Boast about success attained in peer locations
- Impact measures/figures
- Cost-recovery figures

TABLE EXERCISE 1:
Identifying Barriers

Identifying, Lowering or Removing Barriers

- What barriers to your project (created in the last workshop) can your table team now identify?

- What other sources can identify barriers for you?

- How can you lower the barriers you've now identified?

- How can you remove barriers you've identified?

Making a Case: Special Data
Value-added Benefits/Contributions
Impact Measures/Cost Recovery
Figures as Data

Impact Measures

The comparison of actual program outcomes with estimates of the outcomes that would have occurred in the absence of the program.

COST IMPACT FIGURES

"In 1998-1999, 736 Saint John youth were charged as Young Offenders. 186 of those individuals were placed in custody at an average cost of $55,500/youth/year to the province of New Brunswick (Sandell, 1997). This figure increases to approximately $100,000/youth/year when spending on policing services, courts and legal aid is factored in (Department of Justice, 1993; National Crime Prevention Council – Canada, 1995). Based on these figures, it cost the justice system $33,120,000 to charge and $3,410,000 to incarcerate Saint John youth in 1998-1999."

Stacey L. McKay for the Greater Saint John Teen Resource Centre, St. John, NB

Cost Recovery Figures

- Lowering "Sticker-shock"

- Cost recovery figures demonstrate how money will be saved if funding is forthcoming.

COST-RECOVERY DISCUSSION

"It is important to put the core operational budget into perspective. An annual new investment of $584,000/year represents $25/youth/year or $0.50/youth/week (12-24 years) in the Saint John CMA. The cost avoidance impact of the TRC indicates that the annual core operating expenses would be recovered with one of the following:

•Preventing 6 youth from leaving school early,

<div align="center">

OR

</div>

•Preventing 13 youth from entering the justice system,

<div align="center">

OR

</div>

•Preventing 70 teen pregnancies or diverting 70 single parents from social assistance,

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OR

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•Providing 163 youth with the skills needed to secure employment and diverting them from social assistance."

Stacey L. McKay for the Greater Saint John Teen Resource Centre, St. John, NB

Plans

The Importance of Plans

- Plans are organized, disciplined scripts for organizations
- Plans assure that some goal or outcome can be reached
- Plans make results and products possible
- Plans reduce risks that organizations pose to funders

Management Plans

Plan Linkage

- A management plan should clearly link to goals and objectives.

- Some RFPs require that each line item in a budget be overtly marked as relating to a particular goal and objective.

- Some RFPs require measures of the plan's effectiveness and a feedback loop.

- Recently, RFPs have required continual feedback of evaluations into the system.

Think-tank Tasks for Management Team

- Locate science-based/evidence-based projects and interventions
- Create/complete logic models
- Trouble-shoot unexpected issues
- Plan multi-year programs
- Create adjustments for targets
- Determine how to feed evaluations back into the system

Think-tank Tasks (cont.)

- Assist in creating comprehensive projects
- Create funding streams through relationship-building
- Identifying funder trends
- Staying ahead of change loops

Federal Organizational Capacity Discussion (Version 1)

- Experience in managing a project of the proposed size and scope (including $$)

- Successful experience with target/disparate population

- Commitment to maintaining relationships among stakeholders

- Experience and commitment of third parties, such as consultants or contractors

- Appropriate organizational structure, management information system

Another Federal Organizational Capacity Discussion (Version 2)

- Plans for monitoring subgrantees/contractors
- Experience in ability to administer a federal grant or state contract
- Roles of key staff people responsible for the program – don't fall into the "resume trap"
- Sound track record in managing collaborations and budgets
- Appropriate organizational structure, management information system
- Plans for evaluation, self-assessment, and any research you plan to conduct.

Establishing Managerial Capacity

"Drug Prevention Resources (DPR) has over 67 years of experience executing community programs under grants from federal and state agencies. Throughout this time, it has developed systems to ensure that program and financial standards are not only met but exceeded. DPR's accounting functions maintain tight control and oversight of all funding and expenses in accordance with Generally Accepted Accounting Principles. Financial systems include budgeting, financial reporting, accounts payable, and grant and contract management. This is supplemented by software that unifies and allows for cross-referencing of our general ledger, accounts payable, budgeting, and purchasing in an accurate and efficient manner. In addition, DPR engages an independent firm to annually perform an OMB A-133 audit [results?] of our financial statements and review our internal controls, compliance with laws and regulations, and adherence to the requirements of federal, state, and other funding agencies."

Red = opportunities to boost the informational index

Consortium Governance Plan

- How many paid staff available when?
- How other project resources will be assembled?
- How the project will be managed?
- What measures will gauge the effectiveness of this plan?
- What will ensure feedback leading to immediate program modification?

Consortium Communication/Coordination Plan

- Weekly contacts?
- Monthly contacts?
- Project status information immediately available?
- Process for important decisions?
- Who has authority to make pressing decisions?
- What will ensure feedback leading to immediate program modification?
- What measures will gauge the effectiveness of this plan
- What will ensure feedback leading to immediate program modification?

Funds Management

Communications

- The common denominator of all teamwork and relationship-building is communications.

- Thus, it isn't one person's responsibility – effective communication is everyone's responsibility.

Management & Communication

- In the new workplace, to be a good manager, one must
  - be a skilled communicator, or
  - have a good communicator in his or her back pocket,
  - diversify the communications function to ensure that sufficient communication occurs when necessary.

Fundamental Grants Management Principle

" . . . It is a fundamental principle of grants management that a grantee is required to **document** its costs, and that the burden of **demonstrating** allowability and allocability of costs for which funding was received under a grant rests with the grantee."

Current Issues, *Federal Grants Management Handbook*, June 2001

Grant-related OMB Circulars

- States, local governments, and Indian Tribes
  - A-87for cost principles
  - A-102 for administrative requirements
  - A-133 for audit requirements
- Educational Institutions
  - A-21 for cost principles
  - A-110 for administrative requirements
  - A-133 for audit requirements

OMB Circulars (cont.)

- Nonprofit organizations
  - A-122 for cost principles
  - A-110 for administrative requirements
  - A-133 for audit requirments

OMB Circular A-122

- Cost Principles for nonprofits, excluding colleges and universities, hospitals, state, local and federally recognized Indian tribal governments.
  - Reasonable costs
  - Allowable and allocable costs
  - Direct costs
  - Indirect costs

Allowable Costs

- Reasonable for performance of award
- Recognizes limitations and exclusions
- Consistent with policies and procedures
- Accorded consistent treatment
- Determined by Generally Accepted Accounting Principle (GAAP)
- Not included in any cost-sharing or matching in another federally financed program
- Is accurately documented.

Reasonable Costs

- Does not exceed what would be incurred by a prudent person under circumstances at the time the decision was made

Risk-Management Tasks

- Ensuring that expenditures of grant funds occur only for budget categories in the approved grant.
- Following the timeline for a grant-funded project, ensuring that it is initiated and completed according to the grant time line. This responsibility includes initiating expenditures of grant funds in a timely manner after an award.
- Ensuring that funded interventions are completed in the project/budget year.
- Ensuring that grant funds are expended in a project year within the approved budget

Risk-Management (cont.)

- Ensuring that all reporting deadlines are met.

- Ensuring that grant funds are not moved from one budget category to another without permission from a funder.

- Ensuring that carry-over funds are not spent outside the original boundaries of a funded intervention. This responsibility includes securing permission from a funder to carry over funds.
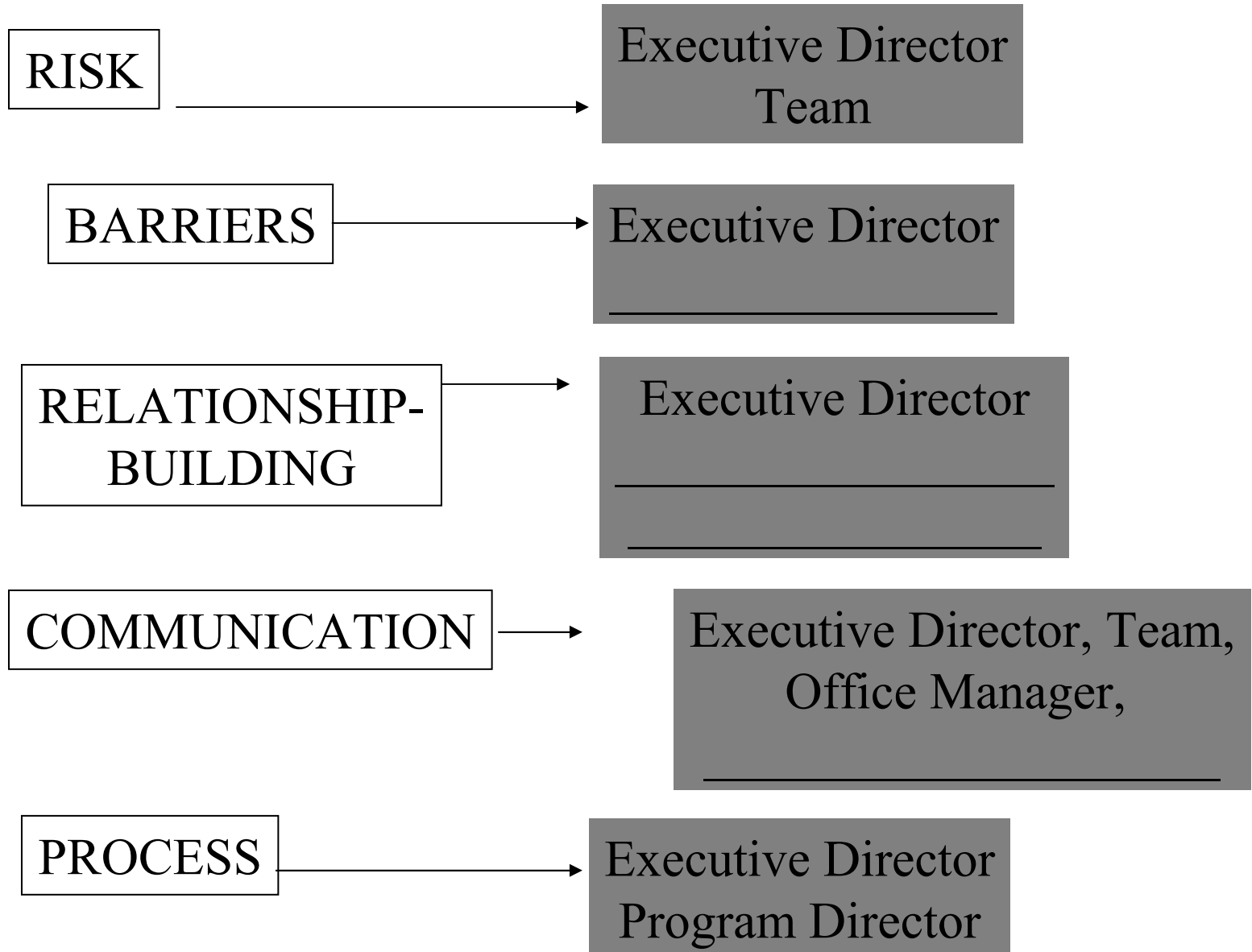
TABLE EXERCISE 2:
Creating a Management Team

Management Team

- Complete the blanks on the following slide as the first step in identifying a management team.

Management Responsibilities

RISK $\longrightarrow$ Executive Director Team

BARRIERS $\longrightarrow$ Executive Director

_____

RELATIONSHIP-BUILDING $\longrightarrow$ Executive Director

_____

_____

COMMUNICATION $\longrightarrow$ Executive Director, Team, Office Manager,

_____

PROCESS $\longrightarrow$ Executive Director Program Director

Grants Management Tasks

- Performance
- Compliance
- Reports
- Documentation
- Monitoring
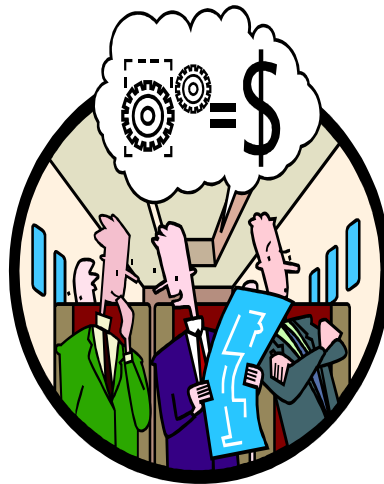- Communication
- Evaluation

Performance

- Initiating expenditures of grant funds in a timely manner after an award.

- Following the timeline for a grant-funded project, ensuring that it is initiated and completed according to the grant time line.

Compliance

- Ensuring that grant/contract funds are spent exactly as an application as promised.

Compliance

- Ensuring moving grant funds from one budget category to another is not prohibited by the Request for Proposal.

- Ensuring that grant funds moved from one budget category to another are not greater than 10% of the total grant award

Compliance

- Ensuring that grant funds exceeding 10% of the total are not moved from one budget category to another without "prior written approval" (public) or permission from a funder (private).

Compliance

- Securing written permission from a funder to carry funds over.

- Ensuring that carry-over funds are not spent outside the original boundaries of a funded intervention.

Documentation

- Maintaining an auditor-friendly RFP-RFB/grants/contracts central file
- Ensuring that all expenditures are appropriately documented.
- Ensuring that records are accurate and up-to-date.
- Ensuring that staff time – funded and in-kind – is documented.

Monitoring

- Tracking progress of interventions.
- Ensuring that grant funds are expended in a project year within the approved budget categories.
- Ensuring that funded interventions are completed in the project/budget year.
- Coordinating and ensuring that collaborators are on track
- Keeping one eye on the timeline and another on the bottom line.

Essentials of Grants Management: A Guide for the Perplexed

- This article by Henry Flood is included in the Grantsmanship Center Magazine, Issue #45, Fall 2001.

- Downloadable at:

- www.tgci.com/publications/01fall/essentials.htm

Grant Tracking and Compliance Management

- This article by Henry Flood is included in the Grantsmanship Center Magazine, Spring 2002 Issue

- Downloadable at:

- www.tgci.com/publications/02spring/tracking.htm

Designing a Grants Filing System That Works

- This article by Henry Flood is included in the Grantsmanship Center Magazine, Summer 2001 Issue

- Downloadable at:

- www.tgci.com/publications/01summer/grantsfile.htm

Strategic Planning

Players

- Board, staff, and perhaps volunteers take part in strategic planning – as a mixed group (not separate groups).

- This group can be augmented by key stakeholders.

- This planning may extend over several months.

- A strategic plan probably runs for five years.

Re-examine and Recommit (?) to the Vision and Mission Statements

- Does the vision statement continue to represent where the organization wishes to go?

- Does the mission statement continue to reflect what the organization does?

Strategic Planning Model 1

- Resort to the multi-year Project/Funding Plan.

- How many of its growth points should be incorporated in this strategic plan?

- Create work groups to create a plan for each growth point addressing barriers, risks, changes that will be induced, funding or resources to implement and continue the growth point.

Strategic Planning Model 2

- An older organization may wish to focus strategic planning on issues or barriers or risks needing to be addressed.

- After issues have been identified, collapsed into focus areas, work groups begin to respond to the issue.
  - What opportunities does it present?
  - How can the organization respond positively to it?
  - Does it suggest a logic model?
  - How is it to be sustained?

Model 2 (cont.)

- What resources will be necessary to implement the group's plan for that issue, etc.?
- What is the plan for implementing the group's solution ?
- What is the timeline?
- Who's doing what, accountable for what?

Implementation or Action Plan

- A strategic plan is conceptual.

- It needs to be followed by an implementation or action plan.

- What resources like the Community Toolbox need to be consulted?

Stewardship of Donor/Funder Relationships

Donor Dissatisfaction

- Donors believe they are
  – asked for money too often,
  – receive only token acknowledgement, and
  – learn almost nothing about how their money was used.
- "Churn and burn" results, "an endless cycle of seeking new donors" to replace those alienated.

Holly Hall, "Charities Treatment of Donors Key to Understanding Why They Stop Giving, *Chronicle of Philanthropy*, Nov. 23, 2006.

Donor Complaints

- Donors who take time to complain are usually those who care most about a cause, suggesting the possibility of a long-term relationship if handled properly.

Holly Hall, "Charities Treatment of Donors Key to Understanding Why They Stop Giving, *Chronicle of Philanthropy*, Nov. 23, 2006.

Donor Satisfaction

- A large survey of donors established that they want

  - Prompt acknowledgement of their gifts,

  - Confirmation that they were used as intended, and

  - Evidence of measurable results – before they receive another request for a donation.

Holly Hall, "Charities Treatment of Donors Key to Understanding Why They Stop Giving, *Chronicle of Philanthropy*, Nov. 23, 2006.

Direct Mail

- 56% saw revenue increase in 2004
- 20% don't rely on direct mail for funding
- Education organizations were most successful with direct mail, followed by public society/benefit organizations, arts and cultural and social service agencies.
- 54% had a response rate greater than 2% while 27% experienced a rate of 5% with 10% a rate greater than 10%.

- AFP survey, 2005

Donor Recognition

"The best donor recognition that I have received is something intangible which I couldn't buy such as circle parking at the Rep [Repertory Theater] and Opera or being invited to have a small lunch or dinner with a visiting scholar or speaker."

- Rome Group's "Insights," Survey: 9-1-05

Donor Recognition

- Donors like recognition, explaining that it invited more gifts.

- "What is important to me is a personal thank you and not a form letter. I do not consider a thank you from the development person to be sufficient. In fact, I'm quite aware if that is the only thanks I receive."

- Rome Group's "Insights," Survey: 9-1-05

Donor Recognition

- Donors like to see their name in print, but they expect it to be the proper form and correct spelling.

- "I think it is an area where many institutions are sloppy. I am particularly offended when the check comes from me and I am listed as Mrs. _____."

- Rome Group's "Insights," Survey: 9-1-05
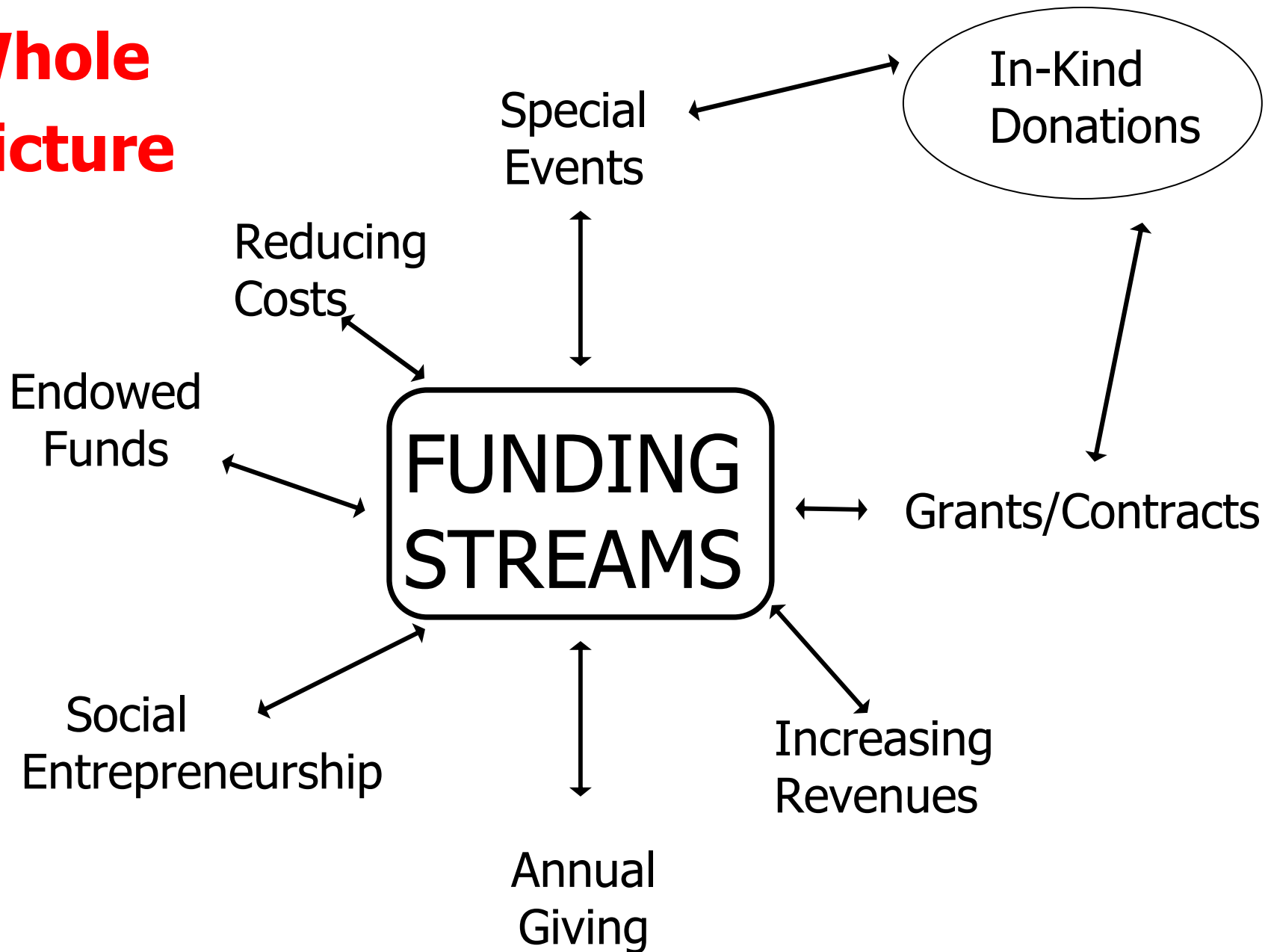
Moving to a Development Stance

Development Defined

Development is a process whereby contributions from all potential sources are solicited in a planned and orderly fashion to best achieve the stated purpose and goals of the organization, fulfilling its short-term survival needs and long-term strategic plans.

Paul Strawhecker

Whole Picture

FUNDING STREAMS

- Special Events
- In-Kind Donations
- Reducing Costs
- Endowed Funds
- Grants/Contracts
- Social Entrepreneurship
- Increasing Revenues
- Annual Giving

Tools Internal to Organization

- Mission Statement
- Strategic Plan
- Current Audit
- Current IRS Form 990 (501 (c) (3))
- Annual Report (MO Sec. Of State)
- Funding Calendar

- Three-year, Project/Funding Plan
- Program Evaluation
- Multi-year Performance Data
- Organizational Resume
- In-Kind Donations Journal

External Resources

- *Foundation Directory* and other funding references
- Internet Web sites for Funding
- Contacts within "Sister" Organizations
- Informal/Formal Community Network
- Relationships with past and present funders

Funding Team Products

- Multi-Year Funding Plan
- Grants in Reserve
- List of Funders Linked to Intervention
- Talking Points for Donors
- Past and Current Funders
- In-Kind Donation Journal

- Funding Calendar
- Roster of Past and Current Partners
- Roster of Potential Partners
- Roster of Candidates for Funding Team
- Endowed Account

Stages of Commitment in Relationship-Building

Funding Steps

Commitment Level

Endowed Fund/ Planned Giving

Champion of "our" cause

Annual Giving

Commitment to "your" cause

Special Events

Awareness of "your" cause

Unaware of "your" cause

Stages of Growth in Relationship-Building

Funding Steps

Commitment Level

Lifelong Assets

Champion of "our" cause

Annual Income

Commitment to "your" cause

Pocket Change

Awareness of your cause

Unaware of your cause

Special Events

- Initial Contact with local business leaders
  - Who: Schmoozer
    - **Inform local business about upcoming special event**
    - **Encourage local business to become a major sponsor of the event**
    - **Offer the local business the opportunity to sponsor a smaller specific activity during the event**

Special Events

- Explore promotional options with the local business
  - Who: Marketing Specialist
    - **Provide an overview of the marketing potential a local business could receive as a special event sponsor**
    - **Specific details on the market the local business could reach through the special event**
    - **Help mock up promotional pieces which would highlight the local business involvement in the special event**

Special Events

- Finalize agreement with local business
  - Who: Executive Director
    - **Work out details of business involvement as a sponsor of the special event**
    - **Sign appropriate contract with local business leader**
    - **Serve as primary contact for any questions from local business leader**

Special Events

Post-event thank you and evaluation.
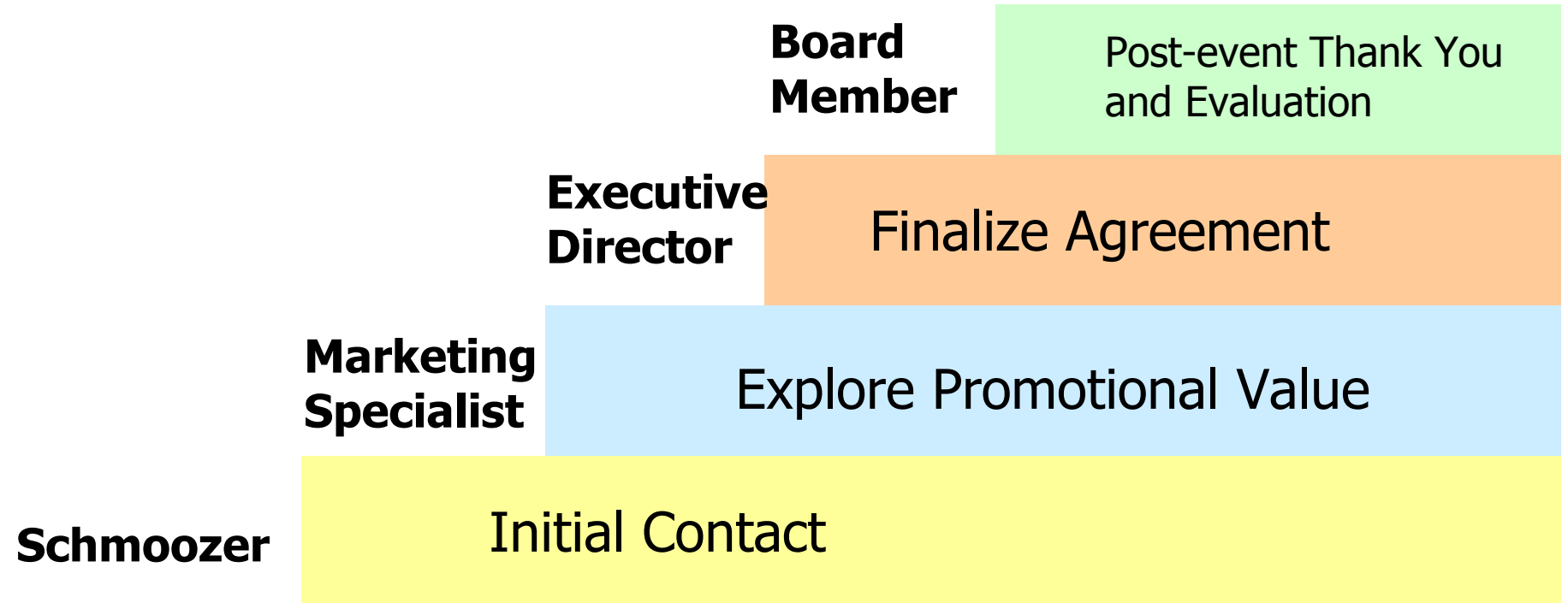Who: Board Member and/or
Executive Director

Personal thanks for their financial support
Provide summary of results of event
Listen to business leader critique of event.
Get business leader input into next event

Building Relationships - through Special Events

Board Member — Post-event Thank You and Evaluation

Executive Director — Finalize Agreement

Marketing Specialist — Explore Promotional Value

Schmoozer — Initial Contact

Funding Team in Action

- Selecting Appropriate Special Events
  - Does the event enhance our image in the community?
  - Does the event provide opportunities to build new relationships?
  - Will the event be an income generator?

Special Events

- **Jump-Starting Your Volunteer Program through Special Events - Bill McLeod in *Main Street News* Nov/Dec. 1996**

- **"Often, people who are reluctant to volunteer on a long-term basis will be happy to help out with an event, festival or other activity that involves only a short-term commitment with definite start and end dates."**

TABLE EXERCISE 3: Planning New Funding Streams

Moving to a Development Stance

- **Study this previous assignment, WHOLE PICTURE: FUNDING STREAMS where you indicated your present funding streams. Using the funding streams you would be interested in creating, create a management plan for initiating one of the funding streams.**
  - **Who will head the new funding initiative?**
  - **Who will assist?**
  - **What will first steps be?**
  - **What barriers must be addressed? Risks?**

Development Stance (cont.)

- – What will the timeline be?
- – What current resources can we leverage?
- – What external resources can we leverage?
- – What relationships need to be built?

Creating a Funding Stream

Drug Prevention Resources Irving, TX

Wise Use:

Seniors & Prescriptions

Need

- 9 million people, age 12 and up, used prescription drugs for non-medical reasons in 1999.

- More than 25 % of this group misused for the first time.

- Seniors (65+) represent 14% of the population but consume more than 1/3 of prescription medications.

- An estimated 17% of older adults are affected by prescription drug misuse.

Need

- Older population consumes about 30% of all prescription drugs and 70% of non-prescription drugs.
- Over 50% of seniors do not take their medication as prescribed.
  - Overmedication
  - Undermedication

(National Institute on Drug Abuse)

Impact Variables

- Trip to physician: $50-$75
- Emergency room treatment: $300-$2,000
- Day in hospital: $2700 (average)
- Admission to nursing home: $35,000/yr.
- Annual cost for treating medication misuse is a stunning $177 billion.
- More than 100,000 Americans die each year from adverse drug reactions.

Impact Variables

- It is anticipated that 1,700 seniors in the 10,000 projected contacts would misuse medications. If S&P is successful, with 10% of the 1,700 seniors, it could result in a savings of approximately $325,000 annually.

- Annual rate of return on investment for $129,049 prevention program is 150%

Wise Use:
Seniors & Prescriptions

- Stakeholders providing information for planning:
  - Texas Commission on Alcohol and Drug Abuse
  - Meals on Wheels
  - Agencies on Aging
  - University of North Texas School of Gerontology
  - Pharmacists
  - substance abuse treatment professionals
  - faith community
  - senior citizens.

Potential Funders

- **Foundations**: Public Welfare Foundation, Retirement Research Foundation, Robert Wood Johnson Foundation, Union Camp Charitable Trust, The Commonwealth Fund, John A. Hartford Foundation, RGK Foundation,

- **Drug manufacturers**: Abbot Labs, Bristol-Meyers Squibb, Eli Lilly, GlaxoSmithKline, Merck, Novatis, Pfizer

- **Drug retailers**: CVS, Eckerds, Walgreens, Albertsons, Walmart

- **Trade Associations**: Northeast Pharmaceutical Association, local pharmaceutical associations

Potential Local Funders

- Senior centers
- Retirement/assisted living centers, rest homes
- Hospitals
- Primary care providers
- Managed care organizations
- Federal and state drug abuse prevention programs
- Faith communities

Challenges to Creating Funding Streams

- In October 2005 Rev. C.T. Vivian, helped create Churches Supporting Churches (CSC) to help rebuild New Orleans African-American Churches.

- The National Council of Churches served as fiscal agent.

- To date, only $200K has been raised.

Suzanne Perry, *Chronicle of Philanthropy* (online), 4/30/07.

CSC Plan

- Match each of 36 New Orleans churches with 10 religious congregations of any denomination across the country.

- The congregations would contribute over three years to cover pastors' salaries and other expenses as well as helping repair or rebuild churches.

  Suzanne Perry, *Chronicle of Philanthropy* (online), 4/30/07.

Challenges and Barriers to CSC

- Before the storm, African-American churches were isolationist, relying only on their congregation for everything instead of forming external relations.

- To outsiders, photos of the French Quarter and other famous sites suggest that New Orleans is back to normal.

- Lack of affordable housing, insurance disputes, and show disbursement of money have slowed or stalled return of highly damaged neighborhoods.

  Suzanne Perry, *Chronicle of Philanthropy* (online), 4/30/07.

Barriers/Challenges (cont.)

- Congregation members are scattered.

- Lack of paid, full-time staff members

- Subsequent reliance on volunteers has made pursuit of grants difficult.

- Many congregations lack 501 (c)(3) status, blocking them from receiving foundation grants.

Suzanne Perry, *Chronicle of Philanthropy* (online), 4/30/07.

Possible Solutions

- Involve more than 36 churches by having each church connect with four others. "If my church is planning to do a day care, then this other pastor may want to do an after-school program, another pastor may want to deal with housing, so you have these churches working together and not duplicating," says Rev. Aldon E. Cotton.

Suzanne Perry, *Chronicle of Philanthropy* (online), 4/30/07.

Sustainability Plans

Management Essentials

- **Sustainability** is the categorical goal.

- **Resiliency** is the objective.

- **Adaptation** is the catalyst.

- Reducing **risk** and building **capacity** are essential in supporting adaptability.

Plan A (nongrant focused)

- Amount to be secured
- What costs it will cover
  - Warning: for a specific grant, the costs can relate ONLY to the project pitched, not an entire organization's personnel – in other words, don't turn an application into an operating grant! You'll lose the grant every time!
  - Warning: even in a labor-intensive project, no more than 40% of the total should be devoted to wages and benefits, as a rule of thumb.
- Identify funding streams
  - The % to be devoted to sustaining THIS project
- Identify sources of funds
  - The % to be devoted to sustaining THIS project
- Identify reduced costs
- Identify revenue increases
- Past successes in fundraising
- Identify the party to implement and manage plan

Plan B (grant focused)

- $ amount sought
- Number of funders/foundations to be approached – use exact names!
- Past relationships with funders, especially foundations.
- Total $$ brought in from grants in the past four years
- Grant cycles of foundations to be approached
- Timelines for applications to be submitted
- Allocations to be made from grants

A Federal Agency Outline

- What is your organization's total operating budget, in-kind as well as cash?
    - Warning: wise organizations ALWAYS report their in-kind total for the past fiscal year because funders use it as a hidden index of sustainability.

    - Resources – What resources, financial and non-financial, are available in your community to support this project?

    - How will you strengthen or build upon existing resources?
        - This is a leveraging question – it silently verifies what you know or are ignorant of about leveraging.

    - Explain how your organization intends to achieve the sustainability of the program after the grant funds end.

In-Kind Donations

- In-kind donations are anything of value **other than cash**. So your employees' time not reimbursed out of grant proceeds constitutes an in-kind contribution on your part unless you are charging that against the indirect rate. For instance, maintaining an EMR is usually an in-kind contribution in CMH grants.

Aggregate Service Measures – Board, Staff, Volunteers

- Cumulative years of service by your Board/Staff/Volunteers:

  a. **On your board**

  b. **With your organization**

  c. **In this field of work**

Team Environmental Scan

- Web sites
- Journals
- Surveys
- Literature reviews
- Directories

- Interviews with experts
- Site visits
- Databases
- Focus groups